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**TRANSMITTAL  
FORM***(to be used for all correspondence after initial filing)*

<b>TRANSMITTAL FORM</b>  <i>(to be used for all correspondence after initial filing)</i>	<b>Application Number</b>	10/051,830	
	<b>Filing Date</b>	January 16, 2002	
	<b>First Named Inventor</b>	Xinhui NIU and Nickhil JAKATDAR	
	<b>Group Art Unit</b>	To Be Assigned	
	<b>Examiner Name</b>	To Be Assigned	
<b>Total Number Of Pages In This Submission</b>	5 w/6 REFS	<b>Attorney Docket No.</b>	509982001200

**ENCLOSURES (check all that apply)**

- |   |  |   |
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| <input type="checkbox"/> Fee Transmittal Form                                     | <input type="checkbox"/> Assignment Papers<br>(for an Application)                         | <input type="checkbox"/> After Allowance Communication to Group   |
| <input type="checkbox"/> Fee Attached   | <input type="checkbox"/> Drawing(s)  | <input type="checkbox"/> Appeal Communication to Board of Appeals and Interferences   |
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| <input type="checkbox"/> After Final  | <input type="checkbox"/> Petition  | <input type="checkbox"/> Proprietary Information  |
| <input type="checkbox"/> Affidavits/declarations                                  | <input type="checkbox"/> Petition to Convert to a Provisional Application                  | <input type="checkbox"/> Status Letter  |
| <input type="checkbox"/> Extension of Time Request                                | <input type="checkbox"/> Power of Attorney, Revocation<br>Change of Correspondence Address | <input checked="" type="checkbox"/> Other Enclosure(s) (please identify below):<br>Form PTO-1449 (1 Page) w/six (6) references<br>Return Receipt Postcard |
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| <input type="checkbox"/> Response to Missing Parts<br>under 37 CFR 1.52 or 1.53   |  |   |

**SIGNATURE OF APPLICANT, ATTORNEY OR AGENT**

<b>Firm or Individual Name</b>	Peter J. Yim (Reg. No. 44,417) Morrison & Foerster LLP 425 Market Street San Francisco, California 94105-2482
<b>Signature</b>	
<b>Date</b>	February 28, 2002

**CERTIFICATE OF MAILING BY "FIRST CLASS MAIL"**

I hereby certify that this correspondence is being deposited with the United States Postal Service as first class mail in an envelope addressed to: Assistant Commissioner for Patents, Washington, D.C. 20231, on February 28, 2002.

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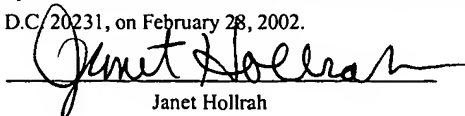
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PATENT  
Docket No. 509982001200

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IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In the application of:

Xinhui NIU and Nickhil JAKATDAR

Serial No.: 10/051,830

Filing Date: January 16, 2002

For: GENERATING A LIBRARY OF  
SIMULATED-DIFFRACTION  
SIGNALS AND HYPOTHETICAL  
PROFILES OF PERIODIC GRATINGS

Examiner: To Be Assigned

Group Art Unit: To Be Assigned

INFORMATION DISCLOSURE  
STATEMENT UNDER 37 C.F.R. § 1.97

Assistant Commissioner for Patents  
Washington, D.C. 20231

Dear Sir:

Pursuant to 37 C.F.R. § 1.97 and § 1.98, Applicants submit for consideration in the above-identified application the documents listed on the attached Form PTO-1449. Copies of the documents are also submitted herewith. The Examiner is requested to make these documents of record.

This Information Disclosure Statement is submitted:

- ☐ With the application; accordingly, no fee or separate requirements are required.
- ☒ Within three months of the application filing date or before mailing of a first Office Action on the merits; accordingly, no fee or separate requirements are required.
- ☐ After receipt of a first Office Action on the merits but before mailing of a final Office Action or Notice of Allowance.
  - ☐ A fee is required. A check in the amount of \* is enclosed.
  - ☐ A fee is required. Accordingly, a Fee Transmittal form (PTO/SB/17) is attached to this submission in duplicate.
  - ☐ A Certification under 37 C.F.R. § 1.97(e) is provided below; accordingly, no fee is believed to be due.
- ☐ After mailing of a final Office Action or Notice of Allowance, but before payment of the issue fee.
  - ☐ A Certification under 37 C.F.R. § 1.97(e) is provided below and a check in the amount of \* is enclosed.
  - ☐ A Certification under 37 C.F.R. § 1.97(e) is provided below and a Fee Transmittal form (PTO/SB/17) is attached to this submission in duplicate.

Applicants would appreciate the Examiner initialing and returning the Form PTO-1449, indicating that the information has been considered and made of record herein.

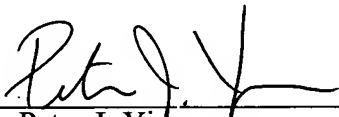
The information contained in this Information Disclosure Statement under 37 C.F.R. § 1.97 is not to be construed as a representation that: (i) a complete search has been made; (ii) additional information material to the examination of this application does not exist; (iii) the information, protocols, results and the like reported by third parties are accurate or enabling; or (iv) the above information constitutes prior art to the subject invention.

In the unlikely event that the transmittal letter is separated from this document and the Patent Office determines that an extension and/or other relief is required, applicant petitions for any required relief including extensions of time and authorizes the Assistant Commissioner to

charge the cost of such petitions and/or other fees due in connection with the filing of this document to **Deposit Account No. 03-1952** referencing 509982001200. However, the Assistant Commissioner is not authorized to charge the cost of the issue fee to the Deposit Account.

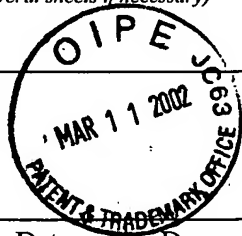
Dated: February 28, 2002

Respectfully submitted,

By:   
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<b>Form PTO-1449</b>  <b>INFORMATION DISCLOSURE CITATION IN AN APPLICATION</b>  <i>(Use several sheets if necessary)</i>	Docket Number 509982001200	Application Number 10/051,830
	Applicant  Xinhui NIU and Nickhil JAKATDAR	
	Filing Date January 16, 2002	Group Art Unit To Be Assigned
	Mailing Date February 28, 2002	



## U.S. PATENT DOCUMENTS

Examiner Initials	Ref. No.	Date	Document No.	Name	Class	Subclass	Filing Date If Appropriate

## FOREIGN PATENT DOCUMENTS

Examiner Initials	Ref. No.	Date	Document No.	Country	Class	Subclass	Translation YES NO

## OTHER DOCUMENTS

*(including author, title, Date, Pertinent Pages, Etc.)*

Examiner Initials	Ref. No.	Title
	1.	N. W. Ashcroft et al., "Solid State Physics", Saunders College, Philadelphia, 1976, pp. 133-134.
	2.	Ch. M. Bishop, "Neural Networks for Pattern Recognition", Clarendon Press-Oxford, 1995, Ch. 4,, pp. 116-163.
	3.	O. S. Heavens, "Optical Properties of Thin Solid Films", Dover Publications Inc. N. Y. 1991 (book).
	4.	M. G. Moharam et al., "Rigorous coupled-wave analysis of planar-grating diffraction", J. Opt. Soc. Am. vol. 71, no. 7/July 1981, pp. 811-818.
	5.	W. H. Press et al., "Numerical Recipes", Cambridge University Press, 1986 (book).
	6.	J. A. Rice, "Mathematical Statistics and Data Analysis" sec. ed., ch. 14, Duxbury Press, 1995, pp. 507-570.

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EXAMINER:	DATE CONSIDERED:
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EXAMINER: Initial if citation considered, whether or not the citation conforms with MPEP 609. Draw a line through the citation if not in conformance and not considered. Include a copy of this form with next communication to applicant.